

S U C C E S S I O N M A N A G E M E N T P R O G R A M



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Succession Management Program Survey (Phase I)

Executive Summary

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Succession Management Program Survey (Phase I)

Introduction

In 2007, the California Department of Corrections and Rehabilitation (CDCR) was identified by the California State Auditor (formerly the Bureau of State Audits), as being deficient in addressing workforce planning and succession management strategies, specifically citing that CDCR struggles to maintain consistent leadership and relies too heavily on “acting” incumbents.

The Office of Workforce Planning (OWP) analyzed recent workforce data to project current risks in upcoming retirements. Current workforce data indicates that approximately 82% of our senior leadership positions, including Warden’s, Chief Deputy Warden’s, and Directors, are within five years of retirement eligibility and 51% of CDCR’s entire workforce is eligible for retirement within the next five years (eligibility is based on minimum age of retirement).

To obtain more tangible data on the current workforce risks and challenges facing CDCR, OWP is developing and delivering surveys to identify “as is” or baseline data. These surveys will be sent to leadership positions in phases. OWP opted to send the survey to peace officer leadership separately from non-peace officer leadership, as workforce challenges and strategies impacting these classifications may be different such as differing retirement ages and retirement rate as well as differing essential functions. In June 2016, OWP completed Phase 1 of the survey which was intended to confirm the need/importance of pursuing a Succession Management Program (SMP), the length of time it will take to prepare successors, and the challenges facing CDCR in retaining and sustaining our workforce in these classifications.

The survey was sent to incumbents in the following classifications:

- Associate Director
- Associate Warden/Correctional Administrator
- Captain, Adult Institutions
- Chief, Office of Correctional Safety
- Chief, Office of Internal Affairs
- Chief Deputy Warden
- Deputy Director
- Director
- Parole Administrator I
- Regional Parole Administrator
- Special Agent-In-Charge
- Superintendent
- Warden
- Youth Authority Administrator

The incumbents represented the following programs:

- Division of Adult Institutions
- Division of Adult Parole Operations
- Division of Juvenile Justice
- Division of Rehabilitation Programs
- Office of Correctional Safety
- Office of Internal Affairs

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EXECUTIVE SURVEY HIGHLIGHTS

Respondent Location Information

- 36% - Central Region
- 25% - Northern Region
- 21% - Southern Region
- 18% - Headquarters

Respondent Classifications

- 41% - Captain, Adult Institutions
- 36% - Associate Warden/Correctional Administrator
- 7% - Warden (*note – 70% of wardens responded to the survey*)

Goal Retirement Date

- 49% identified a goal retirement date
- 31% indicated they did not have a goal retirement date

Additional Retirement Information

- 45% did not have a timeframe to retire
- 28% indicated retirement in 4 – 5 years
- 21% indicated retirement in 2 – 3 years
- 6% indicated within 1 year

Affecting Retirement Plans

- 64% indicated that the State/Department could implement changes that would affect their retirement plans

Recommended Solutions to Affect Retirement

- 55% indicated improved promotional incentives would affect retirement (i.e., base pay increase, longevity pay, education pay, and enhanced benefits)
 - ♦ 42% specifically stated longevity pay
- 29% stated the State/Department needed to address salary compaction between classes

Career Plans

- 76% will seek promotional opportunities in 2 – 5 years

Promotional Interest

- 37% are interested in promoting to Associate Warden/Correctional Administrator
- 25% are interested in Chief Deputy Warden
- 21% are interested in Warden

Relocation within Region

- 68% would be willing to relocate within region

Relocation outside of Region

- 44% would not relocate outside of region
- 34% might relocate outside of region
- 22% would be willing to relocate outside of region

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EXECUTIVE SURVEY HIGHLIGHTS

Participation in Career Development Opportunities

- 89% are interested in participating in career development opportunities (i.e., training, mentorship, job shadowing and special assignments) for themselves

Interest in Succeeding

- 74% indicated that their subordinates were either very interested or interested in succeeding them

Promotional Challenges

- 42% indicated lack of promotional incentives (i.e., base pay increase, longevity pay, education pay, and enhanced benefits)
- 34% believe the issue is salary compaction

Developing Others or Developing Subordinates

- 91% are willing to prepare their subordinates for promotional opportunities (i.e., assessing employee performance, developing training plans, mentoring, and allowing job shadowing)

Succession Management within Institution/Program

- 53% indicated there is no succession management plan
- 31% indicated it was unknown if they have a succession management plan

Importance of Succession Management to Institution/Program

- 90% indicated it was either important or very important to develop a succession management plan

Recommendations

The Department should pursue a contract to develop a SMP and provide staffing to maintain and sustain an effective SMP. The SMP should be a strategic approach to identifying core leadership positions within the Department that are critical to business operations and achieving our objectives in the Blue Print.

An effective SMP will align our business needs to the required competent staff to meet CDCR's missions and will ensure CDCR has a prepared pipeline of talent with potential to replace our retiring leaders and transfer/maintain crucial institutional knowledge. 90% of those surveyed responded SMP was important to their business needs. The SMP should have a regional emphasis as 68% of respondents indicated they are willing to relocate within their geographical region for promotional opportunities. CDCR should seek opportunities to address salary compaction and longevity pay in an effort to reduce attrition rates.

Next Steps

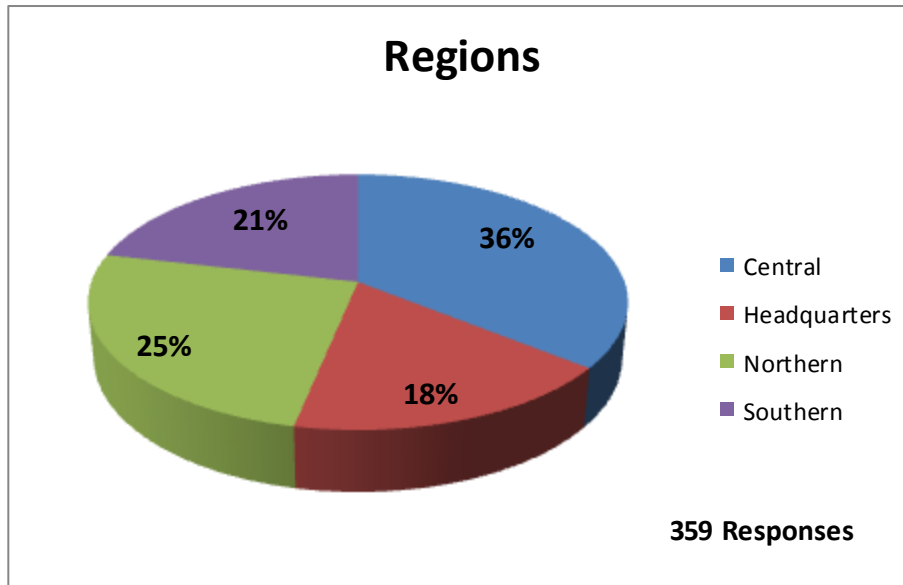
OWP will continue to analyze these results and use the data as part of pursuing the development of an SMP. In addition, survey results will be shared with the Office of Personnel Services to be included when reviewing retention issues. OWP will also provide data in collaboration with the Office of Training and Professional Development (OTPD) to ensure identified competencies are addressed in our Advanced Learning Initiatives. OWP and OTPD will utilize assessments to revise and continually improve training and SMP goals to adapt to the changing needs of the Department. OWP will proceed with Phase 2 by sending the survey to other leadership classifications. After all surveys are completed and all the data has been compiled and analyzed, OWP will share the information with the included programs and Executive staff.

DETAILED SURVEY RESULTS ARE INCLUDED ON THE FOLLOWING PAGES

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DETAILED SURVEY RESULTS

Question 1: In which region is your institution/program located?



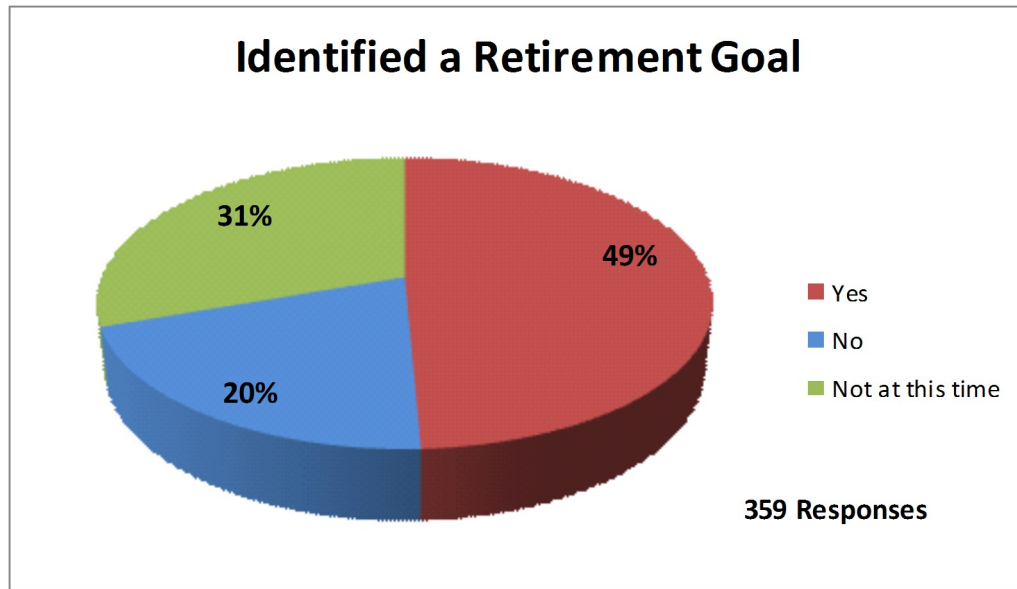
Question 2: What is your current classification?

Associate Director	1.1%	4
Associate Warden/Correctional Administrator	35.7%	128
Captain, Adult Institutions	40.7%	146
Chief, Office of Correctional Safety	0.6%	2
Chief, Office of Internal Affairs	0.8%	3
Chief Deputy Warden	6.7%	24
Deputy Director	1.1%	4
Director	1.1%	4
Parole Administrator I	3.1%	11
Regional Parole Administrator	0.0%	0
Special Agent -In- Charge	0.8%	3
Superintendent	0.0%	0
Warden	7.2%	26
Youth Authority Administrator	1.1%	4
<i>answered question</i>		359

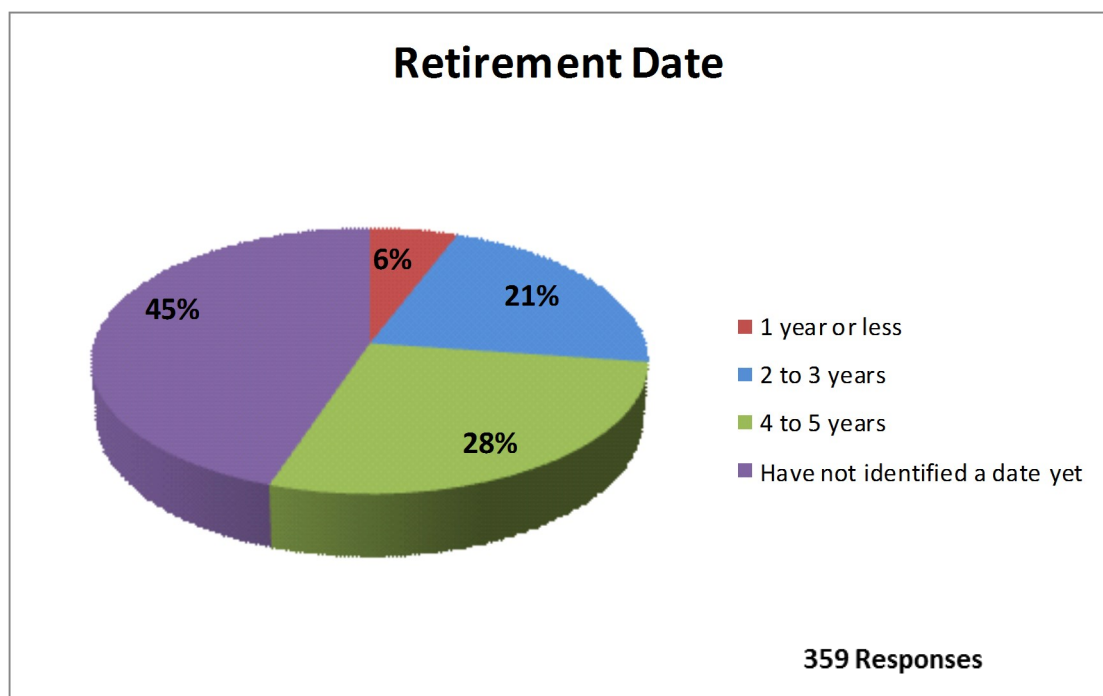
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DETAILED SURVEY RESULTS

Question 3: Have you identified a goal retirement date?



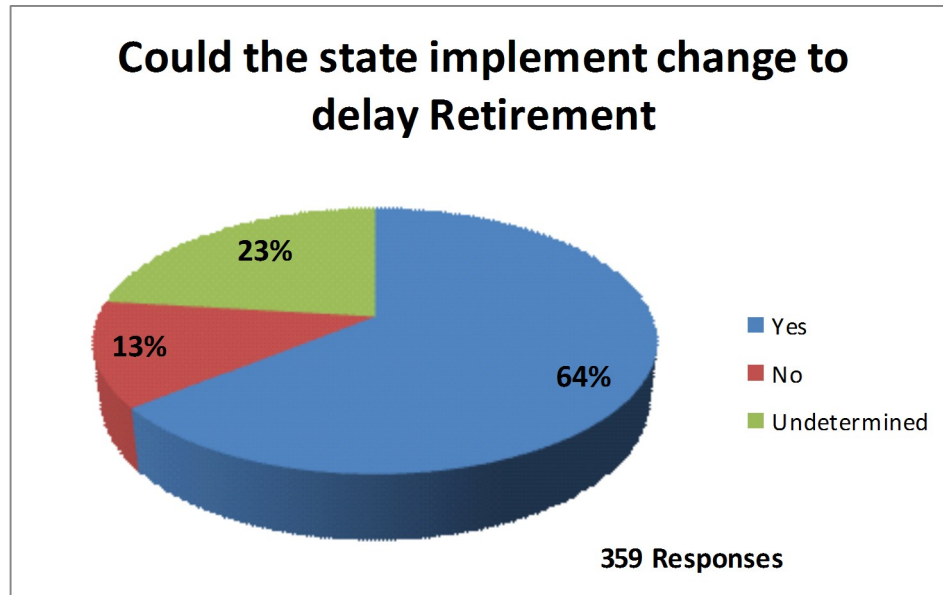
Question 4: When do you anticipate your retirement?



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DETAILED SURVEY RESULTS

Question 5: Is there anything the state/department could implement that would make you want to postpone/delay your retirement?



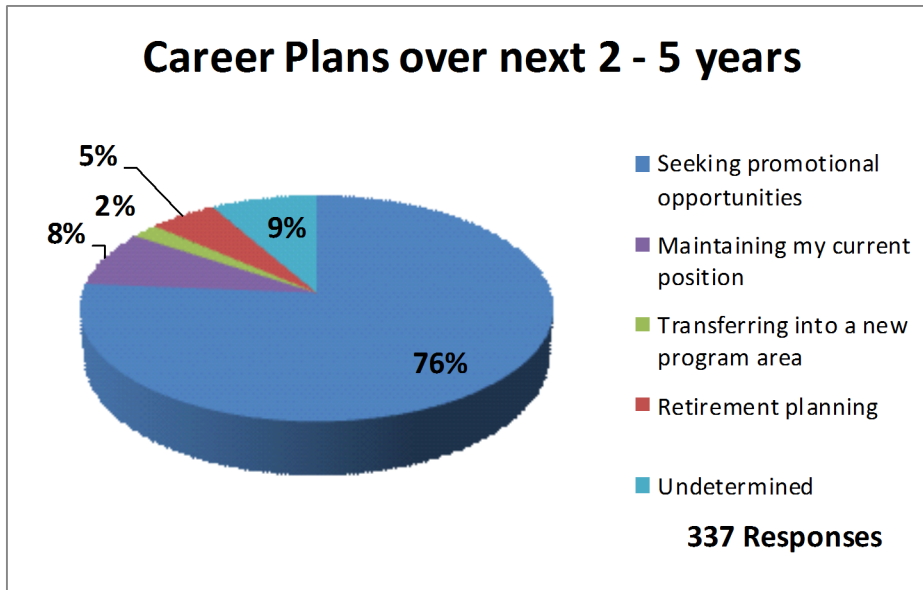
Question 6: What would you recommend the state/department implement? *(Some respondents had multiple answers)*

Answers	Response Percentage	Response Count
Promotional Incentives	55.0%	144
Financial Increase	18%	40
Longevity Pay	42.3%	94
Education Pay		2
Benefits Package		8
Salary Compaction	29.4%	77
Mentoring/Training	3.4%	9
Enhanced Retirement	1.9%	5
Parity with other Agencies	1.5%	4
Promotions based on Ability	1.5%	4
Overtime/CTO	1.1%	3
Other	6.1%	16
Policy Review/Change		2
Mission Based Salary		2
Deferred Retirement Option Package (DROP)		2
Workload Review		2
Annual Bonus based on Performance		2
State Vehicle		2
Continual Testing Process		1
Flexible Schedule		1
Better Defense Against Lawsuits		1
HQ Support		1
<i>total answers</i>		262
<i>answered question</i>		222
<i>skipped question</i>		137

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DETAILED SURVEY RESULTS

Question 7: What are your career plans over the next 2 to 5 years? (*respondents who indicated retirement within the year were not asked this question*)



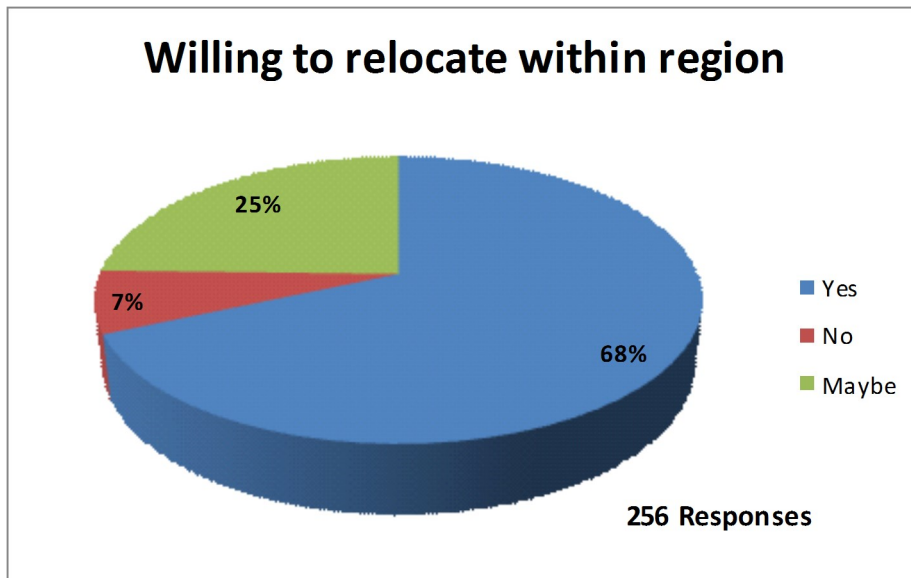
Question 8: What position are you interested in promoting to? (*respondents who indicated retirement within the year were not asked this question*)

Answer Options	Response Per- cent	Response Count
Associate Director	6.6%	19
Associate Warden/Correctional Administrator	37.1%	106
Chief Deputy Warden	25.2%	72
Chief, OCS	0.0%	0
Chief, OIA	0.3%	1
Deputy Director	2.4%	7
Director	1.7%	5
Parole Administrator I	0.0%	0
Undersecretary	0.7%	2
Regional Parole Administrator	2.8%	8
Secretary	1.0%	3
Superintendent	0.7%	2
Warden	21.0%	60
Youth Authority Administrator	0.0%	0
Other (please specify) - Board of Parole Hearings	0.3%	1
answered question		286
skipped question		73

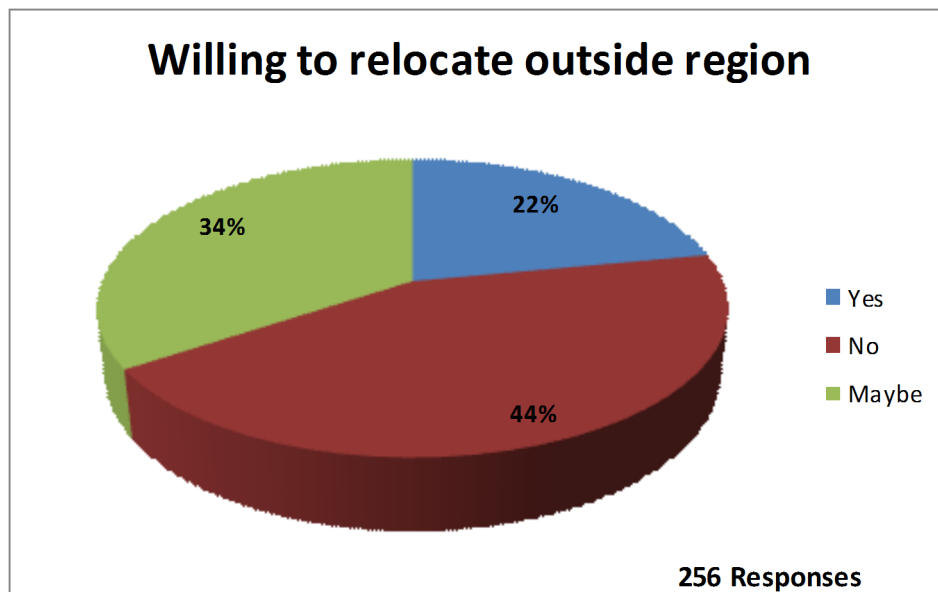
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DETAILED SURVEY RESULTS

Question 9: Would you be willing to relocate to another institution/program within your region?



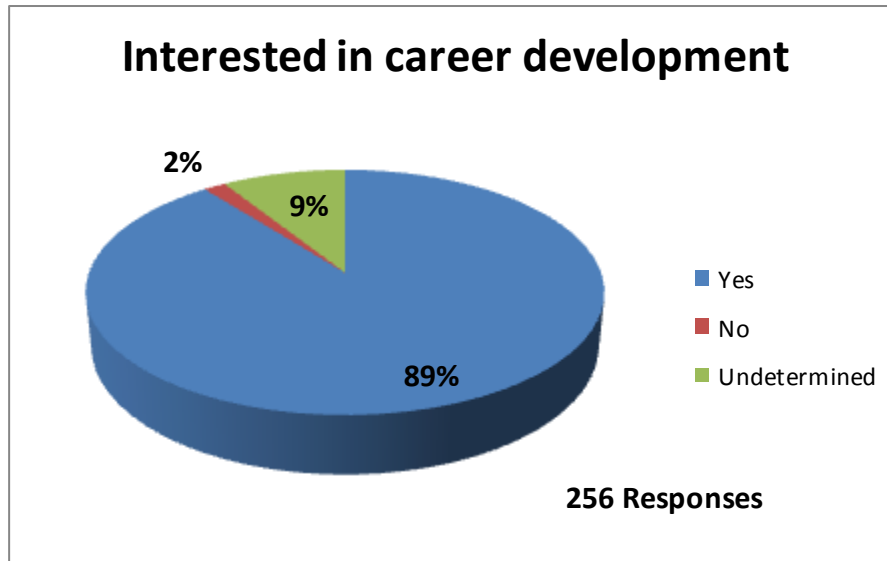
Question 10: Would you be willing to relocate to another institution/program outside your region?
(Respondents indicating transfer or promotional options were asked this question)



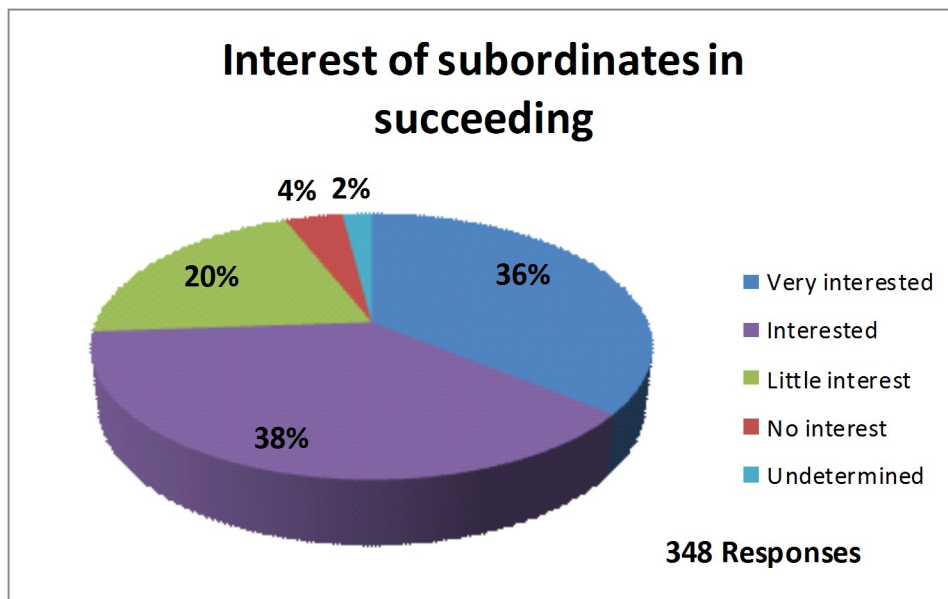
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Question 11: Are you interested in participating in career development as a candidate to prepare you for promotional opportunities? *(Career development may include: training opportunities, mentorship, job shadowing, special assignments, etc.)*



Question 12: In your opinion, how interested would your subordinates be in succeeding you?



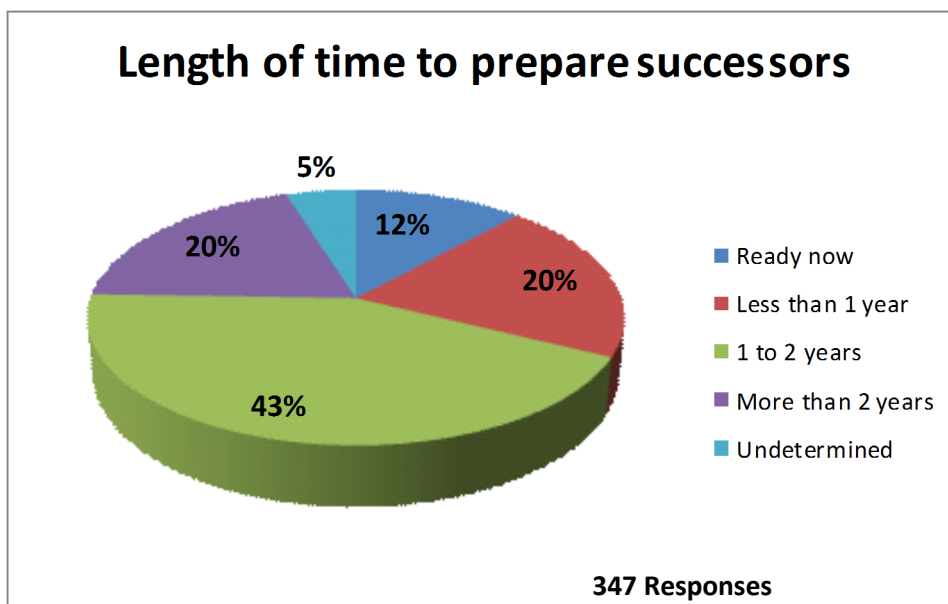
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DETAILED SURVEY RESULTS

Question 13: In your opinion, what is the greatest challenge CDCR faces in gaining interest for employees to promote to your classification? *(Some respondents had multiple answers)*

Answers	Response Per-centage	Response Count
Promotional Incentives	42.2%	147
Financial Increase		82
Longevity Pay		53
Education Pay		6
Benefits Package		6
Salary Compaction	34.2%	119
Workload/Responsibility	6.9%	24
Overtime/CTO	4.6%	16
Mentoring/Training	6.3%	22
HQ Support	3.2%	11
Other	2.6%	9
Retirement Age		2
Contract Parity with other Agencies		1
Inter-Departmental Politics		1
Staff Appreciation in Negative Environment		1
Court Oversight		1
Negative Publicity		1
Stop Hiring Retired Annuitants		1
Background Investigations		1
<i>total answers</i>		348
<i>answered question</i>		327
<i>skipped question</i>		32

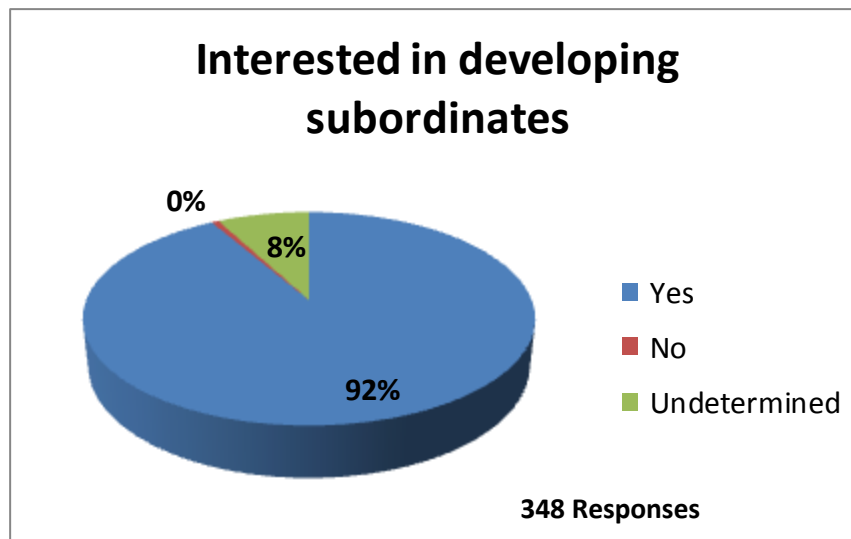
Question 14: In your opinion, on average how long would it take for your subordinates to gain the knowledge, skills, and abilities (competencies) to succeed you?



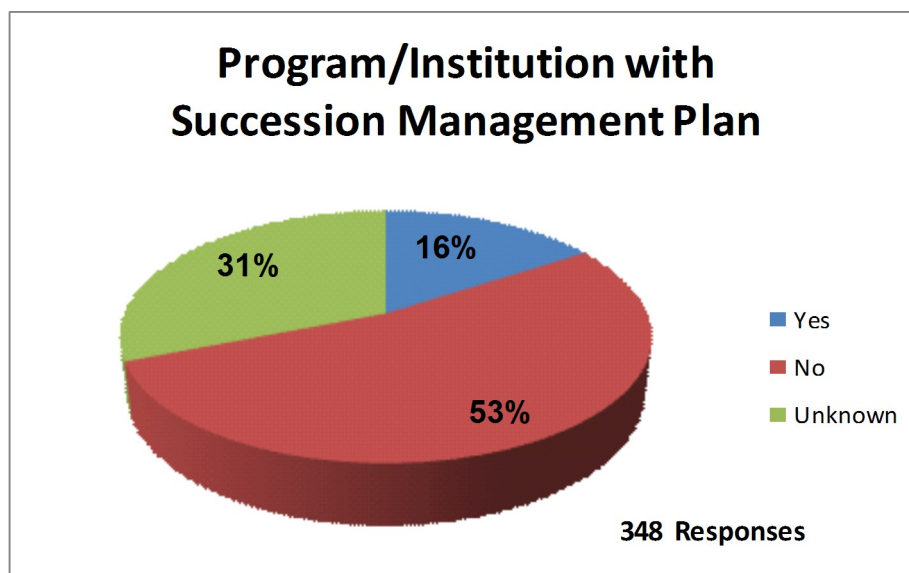
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DETAILED SURVEY RESULTS

Question 15: Would you be willing to engage in career development preparation with your subordinates to prepare them for promotional opportunities? (Career development preparation includes: assessing employee performance, developing training plans, mentoring, allowing job shadowing, etc.)



Question 16: Does your institution/program have a current succession management plan?



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DETAILED SURVEY RESULTS

Question 17: How important is the need to develop a succession management program for your institution/program to meet your business/operational needs in the near future?

